

ATO's Safety Management System (SMS)

An Overview

Abigail Smith, ATO Safety Services

March 6, 2007



Federal Aviation
Administration



Safety & SMS

- **Safety:**
 - Freedom from unacceptable risk
- **Safety Management System (SMS)**
 - A formal system approach to managing the safety risk of Air Traffic Control and Navigation Services
 - Affords “Safety” an equal footing with other business strategies such as efficiency and budget



ATO's Safety Management System

- Focused on the provision of air traffic control and navigation services
- Required by:
 - ATO Customers/Owners
 - Air Traffic Safety Oversight Service (AOV)
 - International Civil Aviation Organization (ICAO)
- Included in FAA Flight Plan 2006–2010
- Holds ATO accountable to the same level of safety discipline required of US aviation industry such as airlines



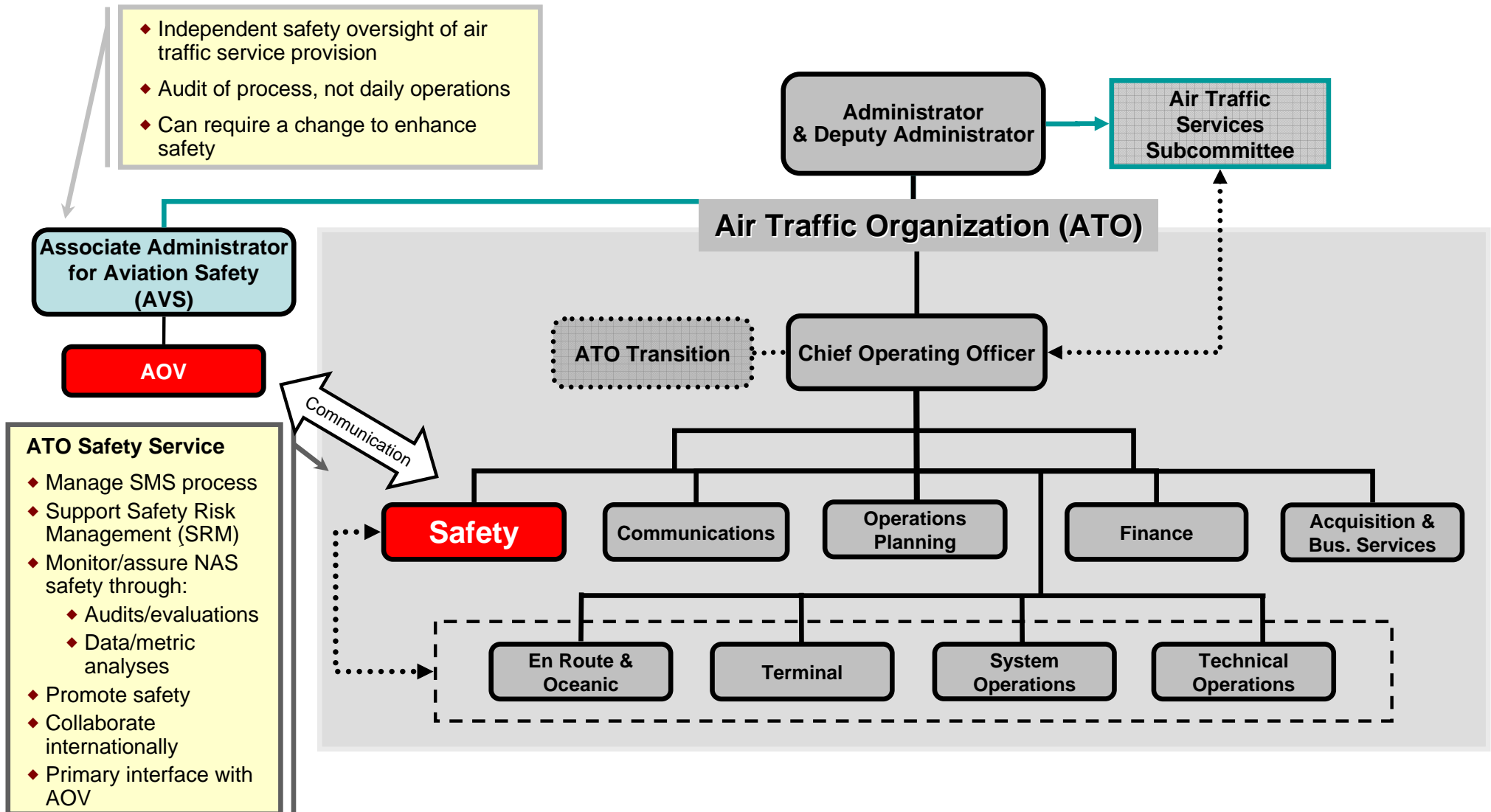
How ATO is Different with SMS

- Formalized, auditable, safety risk assessment and management
- Integrated safety related functions (assurance, data analysis)
- Increased awareness of potential safety risks
- Better coordination among ATO safety stakeholders
- Safety managers throughout ATO Service Units

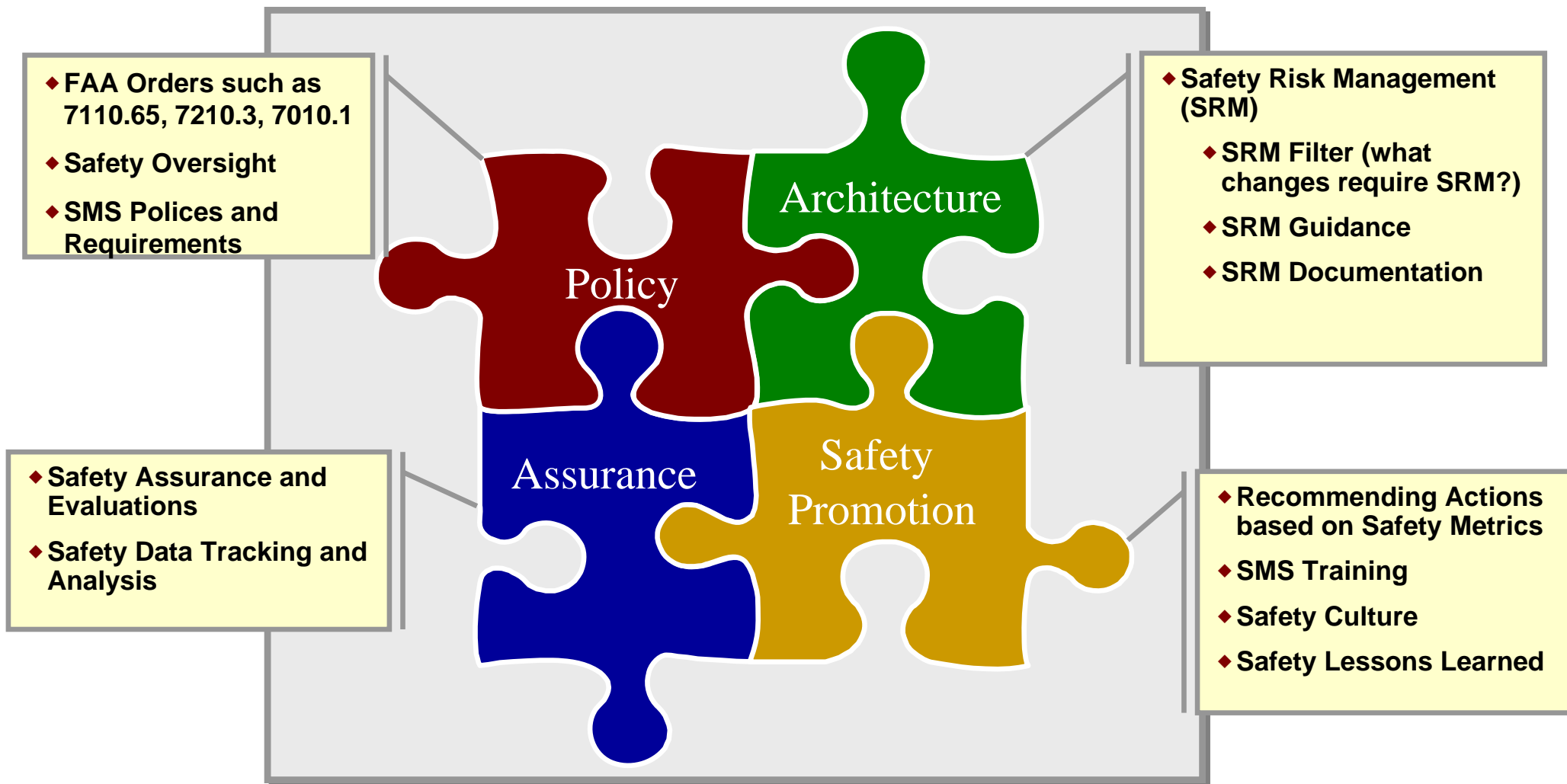


FAA Safety Organizations

- ◆ Independent safety oversight of air traffic service provision
- ◆ Audit of process, not daily operations
- ◆ Can require a change to enhance safety



ATO Safety Management System



Safety Policy



- **Build upon existing processes and procedures**
 - Formalize processes
 - Provide high-level visibility and commitment
- **Includes:**
 - FAA Orders and Directives such as 7110.65, 7210.3, 7010.1, 7210.56, 8020.16
 - Standard Operating Procedures
 - ATO SMS Order (in Draft)
 - SMS Manual

Safety Assurance



- **Ensure compliance with SMS requirements and FAA orders, standards, policies, and directives**
 - Safety reviews
 - Evaluations and audits
- **Analyze methods/opportunities to improve safety and reduce risks**
 - Through enhanced data collection / sharing
- **Maintain and enhance existing assurance functions**
 - All Operational Service Units have same type of evaluations and audits

Safety Promotion



- **Formalized Lessons Learned**
 - Common databases and newsletters
- **Pervasive safety thinking**
 - Periodic training on SMS and Safety Culture Initiatives
 - Formalized suggestion programs across services
- **Measure Changes to Safety Culture**
- **Establishment of non-punitive confidential reporting system**

Safety Risk Management (SRM)



- **A formalized, proactive approach to system safety**
 - Document safety related changes
 - Evaluate and analyze risk
 - Mitigate unacceptable risk
 - Identify and track hazards to resolution
 - Assess effectiveness of risk mitigation strategies
 - Monitor performance of change throughout lifecycle

Implementation Lessons Learned

- **Change Takes Time**
- **Safety Risk Management Improves Decisions**
- **Leadership at Top Critical**
- **An upfront written policy helps focus effort**
- **A How-to Manual eases apprehension**



Questions/Issues/Concerns?

Abigail Smith

Manager

ATO's SMS Implementation

Abigail.Smith@FAA.gov

202-385-4703

